

**Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Prevention**

**Drug Free Communities Support Mentoring Program –  
SP 05-003 New and SP 05-003 Renewal  
(Initial Announcement)**

Catalogue of Federal Domestic Assistance (CFDA) No.: 93.276

**Key Dates:**

<b>Application Deadline</b>	<b>May 31, 2005 (new) May 31, 2005 (for competing renewal applicants)</b>
<b>Intergovernmental Review (E.O. 12372)</b>	<b>Letters from State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.</b>
<b>Public Health System Impact Statement (PHSIS)/SSA Coordination</b>	<b>Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.</b>

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## Table of Contents

I.	FUNDING OPPORTUNITY DESCRIPTION .....	3
1.	INTRODUCTION .....	3
2.	EXPECTATIONS .....	3
3.	BACKGROUND .....	4
4.	DATA AND PERFORMANCE MEASUREMENT .....	5
5.	EVALUATION.....	6
II.	AWARD INFORMATION .....	7
1.	AWARD AMOUNT .....	7
2.	FUNDING MECHANISM .....	7
III.	ELIGIBILITY INFORMATION .....	7
1.	ELIGIBLE APPLICANTS .....	7
2.	COST SHARING.....	8
3.	OTHER.....	9
IV.	APPLICATION AND SUBMISSION INFORMATION .....	9
1.	ADDRESS TO REQUEST APPLICATION PACKAGE .....	9
2.	CONTENT AND FORM OF APPLICATION SUBMISSION .....	9
3.	SUBMISSION DATES AND TIMES.....	20
4.	INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS .....	21
5.	FUNDING LIMITATIONS/RESTRICTIONS .....	23
6.	OTHER SUBMISSION REQUIREMENTS .....	24
V.	APPLICATION REVIEW INFORMATION.....	25
1.	EVALUATION CRITERIA .....	25
2.	REVIEW AND SELECTION PROCESS .....	25
VI.	AWARD ADMINISTRATION INFORMATION.....	26
1.	AWARD NOTICES.....	26
2.	ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	26
3.	REPORTING REQUIREMENTS .....	27
VII.	AGENCY CONTACTS.....	28
	Appendix A – Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications .....	29
	Appendix B – Sample Program Abstract.....	32
	Appendix C - Sample Budget and Justification.....	33

# **I. FUNDING OPPORTUNITY DESCRIPTION**

## **1. INTRODUCTION**

The Executive Office of the President, Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA) announce the availability of funds for Drug Free Communities Support Mentoring Program (DFC Mentoring) grants. The purpose of the DFC Mentoring Program is to support and encourage the development of new, self-supporting, community anti drug coalitions that are focused on the prevention of substance abuse in the new coalition's community. Applicants may propose to assist one or more communities in efforts to begin coalition operations or to expand or strengthen the operations of coalitions that want to receive such assistance.

The DFC Mentoring Program is part of the Drug Free Communities Support Program (DFCSP), a collaborative initiative sponsored by ONDCP and managed by SAMHSA to:

- reduce substance abuse among youth;
- help community coalitions strengthen collaboration;
- enhance intergovernmental collaboration, cooperation and coordination;
- enable communities to conduct data-driven, evidence-based prevention planning, and
- provide communities with technical assistance, guidance, and financial support.

ONDCP and SAMHSA invite eligible applicants to review this announcement for DFC Mentoring grants. Eligibility information is provided in Section III on page 7, and award information is provided in Section II on page 7.

## **2. EXPECTATIONS**

The DFC Mentoring Program is an effort to enhance the number and quality of local Drug-Free Community Coalitions through the assistance of capable, experienced coalitions. DFC Mentoring Program grantees will use their experience and success as DFCSP grantees to support and encourage the development of new, self-supporting community antidrug coalitions to meet the goals of the DFSCP.

The DFCSP has two major goals:

- to reduce substance abuse among youth and, over time, among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse. (Substances include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, cannabis, inhalants, alcohol and tobacco, where their use is prohibited by Federal, State or local law.) *Note: DFCSP community coalitions are required to focus on multiple drugs of abuse, including those listed above. When the term “drug” or “substance” is used in this funding announcement, it is intended to include all of the above.*

- to establish and strengthen collaboration among communities, private nonprofit agencies, and Federal, State, local and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth.

The objectives of the DFCSP include the following:

- serve as a catalyst for increased citizen participation and greater collaboration among all sectors of and organizations within a community;
- enhance community efforts to promote and deliver effective substance abuse prevention strategies;
- assess the effectiveness of community substance abuse prevention initiatives directed toward youth; and
- provide information about effective substance abuse prevention initiatives that can be replicated in other communities.

A variety of coalition mentoring approaches will be considered for the DFC Mentoring Program. However, all DFC Mentoring Program grantees will be expected, at a minimum, to assist the coalitions they are mentoring in the implementation of SAMHSA's Strategic Prevention Framework (SPF). The five steps of the SPF are: 1) needs assessment, 2) capacity building, 3) planning, 4) implementation, and 5) evaluation. This five-step process is known to promote youth development, reduce risk-taking behaviors, build assets and resilience, and prevent problem behaviors across the life spans.

DFC Mentoring Program grantees may mentor more than one community coalition. However, they may only mentor any one community coalition for a maximum of two years.

Applicants may include plans to mentor more than one community coalition in a single DFC Mentoring Program application. If funded, the applicant may then use the DFC Mentoring Program grant funds to mentor more than one community coalition.

DFC Mentoring Program grantee may not mentor another DFCSP grantee.

### **3. BACKGROUND**

The Drug-Free Communities Act (P.L. 105-20) was signed into law on June 27, 1997. The Act provides financial assistance and support to community coalitions to carry out the mission of reducing substance abuse among the nation's youth. On December 14, 2001, P.L. 107-82, 115 Stat. 814 (2001), reauthorized the program for 5 years.

The Drug-Free Communities Act builds on the documented success of community antidrug coalitions in developing and implementing comprehensive, long-term strategies to reduce substance abuse among youth on a sustained basis.

Since 1998, 958 DFCSP coalition grants have been awarded. The program sites that have been awarded grants represent a cross-section of projects from every region in the nation and include rural, urban, suburban, and tribal communities. A list of the FY 1999, 2000, 2001, 2002, 2003, and 2004 grantees and descriptions of their projects can be found on the DFCSP web site ([www.dfc.samhsa.gov](http://www.dfc.samhsa.gov)).

In FY 2003, 20 sites were awarded DFC Mentoring Program grants for the first time. An additional 19 awards were made in FY 2004. It is anticipated that 20 DFC Mentoring Program grants will be awarded in FY 2005. Now in its third year, it is expected that this type of grant will be available in future years if the performance of those coalitions receiving the awards continues to be successful.

#### **4. DATA AND PERFORMANCE MEASUREMENT**

The Government Performance and Results Act of 1993 (P.L.103-62, or “GPRA”) requires all Federal agencies to set program performance targets and report annually on the degree to which the previous year’s targets were met.

Agencies are expected to evaluate their programs regularly and to use results of these evaluations to explain their successes and failures and justify requests for funding.

To meet the GPRA requirements, SAMHSA must collect performance data (i.e., “GPRA data”) from grantees. Grantees are required to report these GPRA data to SAMHSA on a timely basis.

GPRA measures for the DFC Mentoring Program are currently under development. However, SAMHSA expects that these measures will relate to the following competencies:

- Ensuring that mentee coalitions have an adequate governing structure and operational plan;
- Ensuring that mentee coalitions develop baseline measures of drug use and related substance abuse problems;
- Assisting mentee coalitions with strategic planning activities, and;
- Assisting mentee coalitions in securing the collaboration of key community public and private sectors.

The terms and conditions of the grant award will specify the data to be submitted and the schedule for submission. Grantees will be required to adhere to these terms and conditions of award.

**DFC Mentoring Program grantees will be required to assist their mentee coalitions to collect, analyze and report GPRA data to SAMHSA.** Specifically, the DFC Mentoring Program grantees must be prepared to assist their mentee coalitions to collect, analyze and report data on the following measures to SAMHSA:

- Age of onset of any drug use (including alcohol, marijuana and tobacco);
- Frequency of use in the past 30 days (including alcohol, marijuana and tobacco);
- Perception of risk or harm (including alcohol, marijuana and tobacco); and

- Perception of disapproval of use by peers and adults (including alcohol, marijuana and tobacco).

## 5. EVALUATION

DFC Mentoring Program grantees are required to evaluate their projects. Although the local evaluation requirements of DFC Mentoring Program grantees are limited, applicants must describe their evaluation plans in Section E of the project narrative in their applications. The evaluation should be designed to provide regular feedback to the mentoring and mentee coalitions to improve performance. The evaluation must include both process and outcome components, which measure change relating to project goals and objectives over time compared to baseline information.

Applicants must consider these evaluation requirements when preparing the project budget.

**Process components** should address issues such as:

- How closely did the mentor grantee execute the proposed mentoring plan and meet the timelines?
- Were the mentor coalition and mentee coalition(s) able to develop a positive working relationship to facilitate achievement of project goals?
- What types of deviation from the plan occurred?
- What impact did the deviations have on the objectives of the mentoring project?
- Did the mentee coalition increase sector involvement?

**Outcome components** should address issues such as:

- What was the impact of the mentoring project on the mentee coalition?
- What program/contextual factors were associated with outcomes (e.g., expansion of the coalition, implementation of policy changes, improvement/increase in services)?
- What community-level factors were associated with outcomes?

DFC Mentoring Program grantees also must participate in a national cross-site evaluation of the DFCSP, which is intended to measure the progress and development of the DFCSP grantees.

**Applicants must explicitly state in their applications that they will participate in this cross-site evaluation.**

## II. AWARD INFORMATION

### 1. AWARD AMOUNT

It is expected that approximately \$2.9 million will be available for approximately 20 new and 19 competing renewal DFC Mentoring Program awards in FY 2005. The maximum allowable award is \$75,000 per year in total costs (direct and indirect). No more than one award will be made to any single applicant.

Applicants for new awards may request project periods of up to 2 years. Competing renewal applicants may request project periods of up to 1 year.

**Proposed budgets cannot exceed the allowable amount for any year of the proposed project.** Annual continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, and timely submission of required data and reports.

### 2. FUNDING MECHANISM

DFC Mentoring Program awards will be made as grants.

## III. ELIGIBILITY INFORMATION

### 1. ELIGIBLE APPLICANTS

To be eligible to receive a DFC Mentoring Program grant, a coalition must be eligible to receive a new or competing renewal DFCSP coalition grant in FY 2005. Applicants for DFC Mentoring Program grants must either be current DFCSP grantees or must have applied for a new DFCSP grant in FY 2005. [Instructions for applying for a DFCSP coalition grant are provided in Request for Applications (RFA) SP-05-002, which is available on SAMHSA's website at [www.samhsa.gov](http://www.samhsa.gov) or from SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1-800-729-6686.] Applicants that do not meet the eligibility criteria for the DFCSP will not be considered eligible for the DFC Mentoring Program. DFC Mentoring Program awards will not be made to applicants that do not also receive a DFCSP award in FY 2005.

If you are currently in your first year of a DFC Mentoring Program Grant, you are eligible to receive a competing renewal mentoring grant in FY 2005. Other applicants will be considered for a new mentoring grant in FY 2005. DFC Mentoring Program grantees may only mentor any one coalition for a maximum of two years.

In addition, applicants for the DFC Mentoring Program grants must meet the following criteria:

- The coalition must have been in existence for at least 5 years.

- The coalition must have achieved, through its own efforts, measurable results in the prevention of substance abuse among youth.
- The coalition must have staff, volunteers, or members willing to serve as mentors for persons seeking to start or expand the activities of other coalitions in the prevention of substance abuse.
- The coalition must have demonstrable support from the coalition to be mentored and from key sectors of the community(ies) where the coalition will carry out the specific mentoring activities supported by the grant. Demonstrable support must be documented by the inclusion of memorandums of understanding (MOUs). These should be provided in **Appendix 3** of the application.

SAMHSA will consider the information provided in the applicant's project narrative and appropriate Appendices prior to making an award in order to determine whether or not an individual applicant meets the above criteria.

## **2. COST SHARING**

As required in the DFCSP authorizing legislation, DFC Mentoring Program grantees must demonstrate that they will receive and expend matching funds from other, non-Federal sources on a dollar-for-dollar basis. That is, applicants requesting the full DFC Mentoring Program award of \$75,000 per year must demonstrate that they will receive and expend \$75,000 per year from other non-federal sources.

This match requirement applies specifically to the project proposed for funding as a DFC Mentoring Project. A similar match requirement exists for the DFCSP coalition grants. That requirement is separate and must be documented separately. Applicants may not use the same funds to meet the matching requirements for both programs. This means, for example, that if the applicant proposes to provide office space as in-kind non-Federal support for the DFC Mentoring Project, the same office space may not be provided as in-kind non-Federal support under the applicant's proposed DFCSP Coalitions Grant Project. The applicant may, however, split the value of the office space between the two projects.

Applicants must itemize the match separately in the budget worksheet and explain the match separately in the budget justification. (See the sample budget and justification provided in Appendix D of this announcement.)

The Federal support requested and the non-Federal match do not need to be equivalent for each individual budget line item. For example, a request for \$2,000 in Federal support for travel does not need to be equaled by a \$2,000 non-Federal match for travel, as long as the total non-Federal match is the same as the total requested Federal support.

In-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operations of the coalition. Typical examples include donated



office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a voluntary capacity.

Federal funds, including federal funds passed through a State or local government, cannot be used as the match. The only exception to the use of Federal funds as a match applies to tribal entities. Tribal entities, identified as such in their application, may use Federal funds appropriated for substance abuse activities through the Bureau of Indian Affairs, the Indian Health Service, or tribal government.

### **3. OTHER**

**Applications must comply with the following requirements. Applications for new grants that do not comply with the following requirements will be screened out and will not be reviewed:**

- Applicants must use the PHS 5161-1 application.
- Applicants must follow the submission requirements defined in Section IV-3 of this document.
- Applicants must follow the formatting requirements provided in Section IV-2.3 of this document.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

**(To ensure that you have met all submission requirements, a checklist is provided in Appendix A of this document.)**

### **1. ADDRESS TO REQUEST APPLICATION PACKAGE**

You may request a complete application kit by calling SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1-800-729-6686. You may also download the required documents from the SAMHSA web site at [www.samhsa.gov](http://www.samhsa.gov). Click on "Grants."

Additional materials available on SAMHSA's web site include:

- a technical assistance manual for potential applicants;
- a copy of standard terms and conditions for SAMHSA grants;
- a set of guidelines and policies that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- an expanded set of instructions for completing the PHS 5161-1 application.

### **2. CONTENT AND FORM OF APPLICATION SUBMISSION**

#### **2.1 Application Kit**

SAMHSA application kits include the following documents:

- PHS 5161-1 (revised July 2000) – This document includes the face page, budget forms, assurances, certification, and checklist. You must use the PHS 5161-1. **Applications for new grants that are not submitted on the required application form will be screened out and will not be reviewed.**
- Request for Applications (RFA) – This document provides instructions for applying for the grant; therefore, it is important that you read the entire document before writing your application. You must use both of the above documents in completing your application.

SAMHSA now offers the opportunity for applicants to submit applications to SAMHSA in an electronic format. If you would like to apply electronically, see Section IV-3, “Submission Dates and Times,” below.

## 2.2 Required Application Components

To ensure equitable treatment of all applications, applications must be complete. To be considered complete, your application must include the required application components (Face Page, Abstract, Table of Contents, Budget Form, Project Information Summary, Project Narrative, Supporting Documentation, Appendices, Assurances, Certifications, Disclosure of Lobbying Activities, and Checklist).

- ❑ **Face Page** – Use Standard Form (SF) 424, which is part of the PHS 5161-1. [Note: Beginning October 1, 2003, applicants will need to provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants will be required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy, and it is provided without a charge. To obtain a DUNS number, access the Dun and Bradstreet web site at [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization planning to submit a Federal grant application. You should receive the DUNS number within 48 hours after submitting your request.
- ❑ **Abstract** – Your total abstract should not be longer than 35 lines. It should briefly summarize the activities that will be implemented to achieve the goals and objectives of the mentoring relationship, identify the target population, and specify the geographic area to be served with grant funds. If the coalition receives a DFC Mentoring Program award, this abstract will be posted on the DFCSP web site. It may also be used, if your project is funded, in publications, reporting to Congress, and press releases. A sample abstract is provided in Appendix B of this announcement.
- ❑ **Table of Contents** – Include page numbers for each of the major sections of your application and for each appendix.
- ❑ **Budget Form** – Use SF 424A, which is part of the 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample budget and justification is included in Appendix C of this

announcement. Ensure that your application itemizes your non-Federal matching funds separately from the amount of Federal support you are requesting in the budget worksheet.

- ❑ **Project Information Summary** - Applicants must submit a one- to two-page Project Information Summary that includes all of the following information *exactly as defined below*. A Project Information Summary should be provided for each coalition that is to be mentored. The information provided in the Project Information Summary will be collected in a DFC Mentoring Program grantee database to assist ONDCP and SAMHSA with the administration of the DFCSP.

Mentor Coalition – Please provide the following information about the mentor coalition:

- Name of applicant (fiscal agent);
- Mailing address of applicant (fiscal agent), including zip code;
- Official authorized to accept funds on behalf of the coalition (include phone number, fax number, and email address);
- Name of the mentor coalition (if different from fiscal agent);
- Mailing address of mentor coalition (if different from fiscal agent), including zip code;
- Date the mentor coalition was established;
- Project director (include phone number, fax number and e-mail address).
- Coalition board chair/president (include phone number and e-mail address).
- Amount of FY 2005 funds requested;
- Congressional district(s) served by the coalition;

Coalition Being Mentored – Please provide the following information about the coalition being mentored:

- Name of the coalition;
- Mailing address for the coalition;
- Date coalition was established;
- Congressional district(s) served by the coalition;
- Project director (include phone number, fax number and e-mail address);
- Coalition board chair/president (include phone number and e-mail address);
- Population of target area;
- Geographic boundaries served by the coalition (e.g. city, neighborhood, school district, etc.);
- Population ethnicity of the geographic area served by the coalition (e.g. tribal);
- Geographic type (i.e., urban, suburban, rural, mixed). Select one based on the following definitions:
  - *Rural* – A rural area is defined as a county with a population of no more than 30,000. If rural, please identify the county(ies) served by the coalition.
  - *Suburban* – A suburban area is defined as (a) urban fringe of a large city – any incorporated place, a Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of the Census; or (b)

- urban fringe of a midsize city – any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.
- *Urban* – An urban area is defined as (a) large city – a central city of a MSA or CMSA with a population of at least 250,000; or (b) midsize city – central city of an MSA or CMSA with a population of less than 250,000.
- Indicate whether the coalition serves an area that is economically disadvantaged (i.e., 20% or more of the children [under 18 years of age] living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau)
- Identify all present federal and state funding streams that are coordinated with or related to the coalition’s efforts. (These would include involvement with officially recognized OJP Weed & Seed sites, drug courts, OJJDP’s Enforcing Underage Drinking Laws Program, the Center for Substance Abuse Prevention’s State Incentive subgrants, and U.S. Department of Education’s Safe and Drug-Free Schools sites, among others.) Indicate status of funding.

- ❑ **Project Narrative** – The Project Narrative is where you will describe what you plan to do with your grant project. It consists of a narrative organized into Sections A through E. These sections may not be longer than 20 pages in total. (Remember that if your Project Narrative starts on page 5 and ends on page 25, it is 21 pages long, not 20 pages.) In developing the Project Narrative section of your application, use the instructions below instead of the “Program Narrative” instructions found in the PHS 5161-1. You must use the five sections/headings listed in developing your Project Narrative. Be sure to place the required information in the correct section, or it will not be considered. Your application will be scored according to how well you address the requirements for each section.

The Project Narrative requirements for the DFC Mentoring Grants are built around the five steps of the Strategic Prevention Framework (SPF). This five-step process is known to promote youth development, reduce risk-taking behaviors, building assets and resilience, and prevent problem behaviors across the lifespan. Applicants will be reviewed on the degree to which they have applied to the SPF process to their decision-making and program development.

### **Section A: Need and Needs Assessment (20 points)**

In this section of the Project Narrative, the applicant coalition must show that it is experienced in responding to needs that are similar to those in the community(ies) to be mentored. The applicant coalition must also provide plans for assisting the mentee community(ies) to conduct on-going environmental scans to accurately assess community needs and resources over the life of the project. Specifically, applicants should:

- Describe the community or communities that will receive the mentoring assistance. Include basic demographic and socioeconomic information, pertinent data describing drug use problems among youth, and a summary of existing key risk and protective factors relating to drug use.

- Provide similar information for the mentor community, showing the linkages/parallels between the mentor community and the mentee community(ies). Demonstrate that the mentor community is experienced in addressing the types of needs experienced by the mentee community(ies).
- Discuss the mentoring coalition's experience with collecting and using local data, including local measurement of youth drug use and risk and protective factors.
- Provide plans for assisting the mentee community(ies) to conduct environmental scans on an on-going basis to accurately assess community needs and resources; analyze that information; and use this information for program planning purposes. The applicant for the DFC Mentoring Program grant should demonstrate an understanding that the mentee coalition(s) will be expected to use both quantitative data (surveys, health department data, criminal justice data, etc.) and qualitative data (focus groups, key informant interviews, community forums, etc.) to conduct ongoing needs assessments.
- *Competing Renewal* applicants must also describe the results of the mentoring assistance they have provided to date regarding needs assessment, and how those results have influenced the priorities and decision making of the mentee coalition(s).

## **Section B: Capacity Building (25 points)**

In this section of the Project Narrative, the DFC Mentoring Program applicant must document its success in increasing prevention capacity within its own community and discuss its ability and strategy for assisting the mentee coalition(s) in building prevention capacity. Capacity means increasing the ability of the target community to achieve outcomes. Specifically, applicants must:

- Describe previous efforts of the mentor coalition to develop and mentor community antidrug coalitions.
- Highlight the last five years of the mentor coalition's work, discussing briefly the specific nature and history of the mentoring coalition's successful strategies, skill sets, and capabilities that will be diffused to the mentee coalition(s).
- Describe the capacity of the mentor coalition to assist the mentee in implementing the Strategic Prevention Framework process.
- Discuss the mentee coalition's current capacity for coalition activities. Describe previous efforts of the mentee community to develop a community coalition. Describe the sectors that are currently participating in the coalition and discuss plans to recruit additional members.
- Describe the resources available for the proposed project (e.g., facilities, equipment)

- List the measurable results achieved by the mentor coalition, and relate them to the results that the mentee coalition(s) are seeking to achieve.
- *Competing Renewal* applicants must also describe progress in increasing the prevention capacity of the coalition(s) they have been mentoring to date.

### **Section C: Planning (20 points)**

In this section of the Project Narrative, the DFC Mentoring Program applicant will present a strategic plan for the mentoring project that is built around SAMHSA's Strategic Prevention Framework.

- Present a strategic plan that includes the goals, objectives and expected outcomes of the coalition being mentored and how the mentoring relationship will contribute to its progress.
- Discuss the processes/activities that the mentor coalition will use to carry out the goals, objectives and outcomes of the mentoring project, and demonstrate how SAMHSA's Strategic Prevention Framework will be used to advance the mentee community's progress. That is, the strategic plan must address needs assessment, capacity building, strategic planning, implementation, and evaluation within the mentee coalition(s). Keep in mind that the DFCSP does not expect community coalitions (mentor or mentee) to directly operate direct service programs. Specific prevention or intervention programs are more appropriately the responsibility of coalition member organizations, rather than the coalition itself.
- Provide a strategy for ensuring that the coalition(s) receiving mentoring will enlist the support of multiple sectors of the community to address the prevention needs and priorities of the community and the mentee coalition. Include in this strategy the sectors that will be targeted for inclusion. This can be achieved by including a roster for each coalition being mentored. The roster should be included in Appendix 2, "Rosters".
- Provide clear assurances that the coalition(s) receiving mentoring have developed or will develop multiple strategies to address the drug problems of youth; this may include the underage use of alcohol and tobacco.
- *Competing Renewal Applicants:* Discuss your progress to date in implementing the existing strategic plan(s) for your mentee coalition(s) and update the strategy to reflect obstacles and progress in the previous year.

### **Section D: Implementation (20 Points)**

In this section, applicants must present plans for implementing the proposed DFC Mentoring project. Applicants may provide logic model to support these plans in "Appendix 4- Coalition Mentoring Project Logic Model" in the application. Specifically, applicants must:

- Provide a narrative description of plans for implementing the DFC Mentoring project in each mentee community.
- Provide a realistic time line for the project (a chart or graph) showing key activities, milestones, and responsible staff. Include a detailed timeline for year 1 of the project, and a timeline for the subsequent year, focusing on major milestones/activities [Note: The timeline should be part of the Project Narrative. It should not be placed in an appendix.
- Provide a list of individuals (staff and members/volunteers from the mentor coalitions) who will participate in the project, showing the role of each and their level of effort and qualifications. Include the Project Director and other key personnel, such as the evaluator and prevention personnel. It is expected that individuals from multiple sectors of the mentor community will participate in the mentoring.
- Indicate if the staffing pattern includes bilingual and bicultural individuals, if the target population is multi-linguistic.
- *Competing Renewal* applicants must also describe their progress in implementing the DFC Mentoring Projects to date.

#### **Section E: Evaluation (15 points)**

In this section, applicants must describe their plans for ongoing monitoring and evaluation of the DFC Mentoring project. As described in Section I-5, “Evaluation,” of this announcement (p. 6), the plans must include both process and outcome components to determine whether desired outcomes have been achieved and assess the effectiveness of the DFC Mentoring Project for both the mentor and mentee coalitions. **Be sure to include an explicit statement that the mentor coalition will participate in the national evaluation of the DFCSP.**

- *Competing Renewal* applicants must also describe their progress in implementing their evaluation activities to date, including the results and findings that have been drawn from their evaluation efforts and how the results and findings have influenced the direction of the initiative.
- ❑ **Supporting Documentation** - The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation should be provided immediately following your Project Narrative in Sections F through H. There are no page limits for these sections, except for Section H, Biographical Sketches/Job Descriptions.
- *Section F* - Literature Citations. This section must contain complete citations, including titles and all authors, for any literature cited in your application.
  - *Section G* - Budget Justification, Existing Resources, Other Support. You must provide a narrative justification of the items included in your proposed budget, as well as a

description of existing resources and other support you expect to receive for the proposed project (i.e., your non-Federal match). All sources of funds to be received for grant purposes must be clearly identified.

- *Section H - Biographical Sketches and Job Descriptions.*
  - Include a biographical sketch for the Project Director and other key positions for both the mentor and mentee coalitions. Each sketch should be 2 pages or less. If the person has not been hired, include a position description and/or letter of commitment with a current biographical sketch from the individual.
  - Include job descriptions for key personnel for both the mentor and mentee coalitions. Job descriptions should be no longer than 1 page each.
  - Sample sketches and job descriptions are listed on page 22, Item 6 in the Program Narrative section of the PHS 5161-1.
- ❑ **Appendices 1 through 4** – Use only the appendices listed below. If your application includes any appendices not required in this grant announcement, they will not be reviewed or considered. Do not use more than a total of 30 pages for Appendices 2, 3, and 4 combined. Do not use appendices to extend or replace any of the sections of the Project Narrative; reviewers will not consider them.

*Appendix 1:* Letter to the Single State Authority for Substance Abuse (SSA) if applicable; see Section IV-4 of this document

*Appendix 2:* Rosters (See Section IV-2.1, Section C, Project Narrative, of this document)

*Appendix 3:* MOUs (See Section III-1, Eligibility, and Section IV-2.1, of this document)

*Appendix 4:* Mentoring Project Logic Model (optional)

- ❑ **Assurances** – Non-Construction Programs.
- ❑ **Certifications** – Use the “Certifications” forms found in PHS 5161-1.
- ❑ **Disclosure of Lobbying Activities** – Use Standard Form LLL found in the PHS 5161-1. Federal law prohibits the use of appropriated funds for publicity or propaganda purposes, or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way.
- ❑ **Checklist** – Use the Checklist found in PHS 5161-1. The Checklist ensures that you have obtained the proper signatures, assurances and certifications. The checklist is the last page of your application.

## **2.3 Application Formatting Requirements**



**Applicants must comply with the following basic application requirements. Applications for new grants that do not comply with these requirements will be screened out and will not be reviewed.**

- ☐ Information provided must be sufficient for review.
- ☐ Text must be legible. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”)
  - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
  - Text in the Project Narrative cannot exceed 6 lines per vertical inch.
- ☐ Paper must be white paper and 8.5 inches by 11.0 inches in size.
- ☐ To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”)
  - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the 20-page limit for the Project Narrative.
  - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by 13. This number represents the full page less margins, multiplied by the total number of allowed pages.
  - Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, following these guidelines will help reviewers to consider your application.

- ☐ Pages should be typed single-spaced in black ink, with one column per page. Pages should not have printing on both sides.
- ☐ Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.

- ❑ Send the original application and two copies to the mailing address in Section IV-6.1 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

### Guidance for Electronic Submission of Applications

SAMHSA is now offering the opportunity for you to submit your application to us either in electronic or paper format. Electronic submission is voluntary. No review points will be added or deducted, regardless of whether you use the electronic or paper format.

To submit an application electronically, you must use the [www.Grants.gov](http://www.Grants.gov) apply site. You will be able to download a copy of the application package from [www.Grants.gov](http://www.Grants.gov), complete it off-line, and then upload and submit the application via the Grants.gov site. E-mail submissions will not be accepted.

You must search the Grants.gov site for the downloadable application package, by the Catalogue of Federal Domestic Assistance (CFDA) number. The CFDA number for this program is 93.276.

You must follow the instructions in the User Guide available at: [www.Grants.gov](http://www.Grants.gov) apply site, on the Customer Support tab. In addition to the User Guide, you may wish to use the following sources for help:

By e-mail: [support@Grants.gov](mailto:support@Grants.gov)

By phone: 1-800-518-4726 (1-800-518-GRANTS). The Customer Support Center is open from 7:00 a.m. to 9:00 p.m. Eastern Time, Monday through Friday.

If this is the first time you have submitted an application through Grants.gov, you must complete four separate registration processes before you can submit your application. Allow at least **two weeks** (10 business days) for these registration processes, prior to submitting your application. The processes are: DUNS Number registration, Central Contractor Registry (CCR) registration, Credential Provider registration, and Grants.gov registration.

**It is strongly recommended that you submit your grant application using Microsoft Office products (e.g., Microsoft Word, Microsoft Excel, etc.).** If you do not have access to Microsoft Office products, you may submit a PDF file. Directions for creating PDF files can be found on the Grants.gov web site. Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described above, and in Appendix A of this announcement. These requirements also apply to applications submitted electronically, with the following exceptions only for Project Narratives submitted electronically in Microsoft Word.

These requirements help to ensure the accurate transmission and equitable treatment of applications.

*Text legibility:* Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, bottom) of one inch each. Adhering to these standards will help to ensure the accurate transmission of your document. If the type size in the Project Narrative of an electronic submission exceeds 15 characters per inch, or the text exceeds 6 lines per vertical inch, SAMHSA will reformat the document to Times New Roman 12, with line spacing of single space. Please note that this may alter the formatting of your document, especially for charts, tables, graphs, and footnotes.

*Amount of space allowed for Project Narrative:* The Project Narrative for an electronic submission may not exceed 10,300 words. **In applications for new grants, any part of the Project Narrative in excess of the word limit will not be submitted to review.** To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. You may also submit a back-up paper submission of your application. Any such paper submission must be received in accordance with the requirements for timely submission detailed in Section IV-3 of this announcement. The paper submission must be clearly marked: “Back-up for electronic submission.” The paper submission must conform with all requirements for non-electronic submissions. If both electronic and back-up paper submissions are received by the deadline, the electronic version will be considered the official submission.

After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number.

The Grants.gov Web site does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424), the assurances (SF 424B), and the certifications, and hard copy of any other required documentation that cannot be submitted electronically. **You must reference the Grants.gov tracking number for your application, on these documents with original signatures, and send the documents to the following address. The documents must be received at the following address within 5 business days of your electronic submission.** Delays in receipt of these documents may impact the score your application receives or the ability of your application to be funded.

**For United States Postal Service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044

1 Choke Cherry Road  
Rockville, MD **20857**  
ATTN: Electronic Applications

**For other delivery service (DHL, Falcon Carrier, Federal Express, United Parcel Service):**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20850**  
ATTN: Electronic Applications

If you require a phone number for delivery, you may use (240) 276-1199.

### **3. SUBMISSION DATES AND TIMES**

The deadline for submission of DFC Mentoring Program is:

For new applicants: May 31, 2005

For competing renewal applicants: May 31, 2005.

Your application must be received by the application deadline, or you must have proof of its timely submission as specified below.

- For packages submitted via DHL, Falcon Carrier, Federal Express (FedEx), or United Parcel Service (UPS), timely submission shall be evidenced by a delivery service receipt verifying the carrier services received the application at least 24 hours prior to the application.
- For packages submitted via the United States Postal Service (USPS), proof of timely submission shall be a postmark not later than 1 week prior to the application deadline, and the following upon request by SAMHSA:
  - proof of mailing using USPS Form 3817 (Certificate of Mailing), or
  - a receipt from the Post Office containing the post office name, location, and date and time of mailing.

You will be notified by postal mail that your application has been received.

**Applications for new grants that do not meet the timely submission requirements above will not be considered for review.** For applications for renewal grants, failure to meet the timely submission requirements may affect the ability of your application to be funded. Please

remember that mail sent to Federal facilities undergoes a security screening prior to delivery. Allow sufficient time for your package to be delivered.

If an application for a new grant is mailed to a location or office (including room number) that is not designated for receipt of the application, and that results in the designated office not receiving the application in accordance with the requirements for timely submission, the application will be considered late and ineligible for review.

#### **4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS**

Executive Order 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, sets up a system for State and local review of applications for Federal financial assistance. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and can be downloaded from the Office of Management and Budget (OMB) web site at [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html).

- Check the list to determine whether your State participates in this program. You **do not** need to do this if you are a federally recognized Indian tribal government.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline:

**For United States Postal Service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20857**  
ATTN: SPOC – Funding Announcement No. SP 05-003

**For other delivery service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044

1 Choke Cherry Road  
Rockville, MD **20850**  
ATTN: SPOC – Funding Announcement No. SP 05-003

In addition, community-based, non-governmental service providers who are not transmitting their applications through the State must submit a Public Health System Impact Statement (PHSIS) (approved by OMB under control no. 0920-0428; see burden statement below). The PHSIS must be submitted to the head(s) of appropriate State or local health agencies in the coalition's target area no later than the application due date. The PHSIS is intended to keep State and local health officials informed of proposed health-related grant applications submitted by community-based, non-governmental organizations within their jurisdictions. State and local governments and Indian tribal government applicants are not subject to these requirements.

The PHSIS consists of the following information:

- a copy of the face page of the application (SF 424); and
- a summary of the project, no longer than one page in length, that provides: 1) a description of the population to be served, 2) a summary of the activities to be conducted, and 3) a description of the coordination planned with appropriate State or local health agencies.

For SAMHSA grants, the appropriate State agencies are the Single State Agencies (SSAs) for substance abuse and mental health. A listing of the SSAs can be found on SAMHSA's web site at [www.samhsa.gov](http://www.samhsa.gov). If the proposed project falls within the jurisdiction of more than one State, you should notify all representative SSAs.

Applicants who are not the SSA must include a copy of a letter transmitting the PHSIS to the SSA in **Appendix 1, "Letter to the SSA."** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the application deadline to:

**For United States Postal Service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20857**  
ATTN: SSA – Funding Announcement No. SP 05-003

**For other delivery service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services

Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20850**  
ATTN: SSA – Funding Announcement No. SP 05-003

In addition:

- Applicants may request that the SSA send them a copy of any State comments.
- The applicant must notify the SSA within 30 days of receipt of an award.

*[Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the face page of SF 424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).]*

## **5. FUNDING LIMITATIONS/RESTRICTIONS**

Cost principles describing allowable and unallowable expenditures for Federal grantees, including SAMHSA grantees, are provided in the following documents:

- Institutions of Higher Education: OMB Circular A-21
- State, Local , and Native American Tribal Governments:  
OMB Circular A-87
- Nonprofit Organizations: OMB Circular A-122
- Appendix E Hospitals: 45 CFR Part 74

In addition, DFC Mentoring Program grant recipients must comply with the following funding restrictions:

- DFC Mentoring Program grant funds must be used for purposes supported by the program.
- Grant funds may not be used to fund direct services.
- DFC Mentoring Program grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- SAMHSA will not accept a “research” indirect cost rate. The grantee must use the “other sponsored program rate” or the lowest rate available.

## **6. OTHER SUBMISSION REQUIREMENTS**

Guidance for Electronic Submission of Applications is contained in Section IV-2.3 of this announcement. Following are instructions for submission of paper applications.

### **6.1 Where to Send Applications**

Send applications to the following address:

#### **For United States Postal Service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20857**

#### **For other delivery service:**

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20850**

Do not send applications to other agency contacts, as this could delay receipt. **Be sure to include the funding announcement number (“SP-05-003-New” or “SP-05-003-Renewal”) in item number 10 on the face page of the application. If you are a competing renewal applicant, be sure to put your grant number in Block #4, “Federal Identifier”, on the Face Page of your application (i.e., Form SF 424). If you do not know your SAMHSA grant number, you can find it on the DFCSP website ([www.dfc.samhsa.gov](http://www.dfc.samhsa.gov)). If you require a phone number for delivery, you may use (240) 276-1199.**

### **6.2 How to Send Application**

Mail or deliver an original application and 2 copies (including appendices) to the mailing address provided above, according to the instructions in Section IV-3. The original and copies must not be bound. Do not use staples, paper clips, or fasteners.

**Hand carried applications will not be accepted. Applications may be shipped using only DHL, Falcon Carrier, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).**

**SAMHSA will not accept or consider any applications sent by facsimile.**



## **V. APPLICATION REVIEW INFORMATION**

### **1. EVALUATION CRITERIA**

Your application will be reviewed and scored according to the quality of your response to the requirements listed in Section IV-2.2 for developing the Project Narrative (Sections A-E). Those sections describe what you intend to do with your project. The Supporting Documentation you provide in Sections F-H and Appendices 1-4 also will be considered by reviewers in assessing your response.

The number of points after each heading in the Project Narrative instructions is the maximum number of points a review committee may assign to that section of your Project Narrative. The section headings for the Project Narrative are as follows:

- Need and Needs Assessment (20 points)
- Capacity Building (25 points)
- Planning (20 points)
- Implementation (20 points)
- Evaluation (15 points)

[Note: Bullet statements in each section of the Project Narrative instructions do not have points assigned to them. They are provided to invite the attention of applicants and reviewers to important areas within each section.]

Reviewers will be looking for evidence of cultural competence in each section of the Project Narrative. Points will be assigned based on how well you address the cultural competence aspects of the evaluation criteria. SAMHSA's guidelines for cultural competence can be found on the SAMHSA web site at [www.samhsa.gov](http://www.samhsa.gov). Click on "Grants."

### **2. REVIEW AND SELECTION PROCESS**

Decisions to fund a grant are based on:

- the strengths and weaknesses of the application as identified by reviewers;
- availability of funds;
- equitable distribution of awards in terms of geography (including urban, rural and remote settings) and balance among target populations and program size;
- whether or not the applicant has received a DFCSP grant for FY 2005.

Priority will be given to applications from coalitions that will be mentoring coalitions that target economically disadvantaged areas (i.e., counties in which 20% or more of the children below the age of 18 are living in a household below the poverty line, as defined by the U.S. Census

Bureau). SAMHSA will consider information provided in the Project Information Summary in determining whether or not an application falls within this category.

After applying the aforementioned criteria, the following method will be used for breaking ties: When funds are not available to fund all applications with identical scores, award decisions will be based on the application(s) that received the greatest number of points by reviewers on the evaluation criterion in Section V-1 with the highest number of possible points (Capacity - 25 points). Should a tie still exist, the score on Section A – Needs Assessment (20 points) will be used, followed by the score on Section C – Planning (20 points), and Section D (Implementation 20 points).

## **VI. AWARD ADMINISTRATION INFORMATION**

### **1. AWARD NOTICES**

After your application has been reviewed, you will receive a letter from SAMHSA through postal mail that describes the general results of the review.

If you are approved for funding, you will receive an **additional** notice, the Notice of Grant Award, signed by SAMHSA's Grants Management Officer. The Notice of Grant Award is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project. It is sent by postal mail and is addressed to the contact person listed on the face page of the application.

If you are not funded, you can re-apply if there is another receipt date for the program.

### **2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **2.1 General Requirements**

- You must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA web site at: [www.samhsa.gov/grants/generalinfo/useful\\_info.aspx](http://www.samhsa.gov/grants/generalinfo/useful_info.aspx).
- Additional terms and conditions may be negotiated with the grantee prior to grant award. These may include:
  - requirements relating to additional data collection and reporting;
  - requirements relating to participation in a cross-site evaluation; or
  - requirements addressing problems identified in review of the application.
- You will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any

continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.

- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services “Survey on Ensuring Equal Opportunity for Applicants.” This survey is included in the application kit for SAMHSA grants. Applicants are encouraged to complete the survey and return it, using the instructions provided on the survey form. However, your decision to/not to complete this survey will not have any bearing on the evaluation of your application for funding.

### **3. REPORTING REQUIREMENTS**

#### **3.1 Progress and Financial Reports**

- Grantees must provide quarterly progress reports (i.e., four reports per year) and a final progress report. The final progress report must summarize information from all previous reports, describe the accomplishments of the project, and describe next steps for implementing the plans that were developed during the grant period.
- Grantees must provide annual and final financial status reports. These reports may be included as separate sections of annual and final progress reports or can be separate documents. Because SAMHSA is extremely interested in the future progress and advancement of the mentee coalitions, your report should address the financial viability of the mentee coalition.
- SAMHSA will provide guidelines and requirements for these reports to grantees at the time of award. SAMHSA staff will use the information contained in the reports to determine the grantee’s progress toward meeting its goals.

#### **3.2 Government Performance and Results Act**

The grantee must comply with data and performance measurement reporting requirements described in Section I-4 (Data and Performance Measurement), page5.

#### **3.3 Publications**

If you are funded under this grant program, you are required to notify the Government Project Officer (GPO) and SAMHSA’s Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded project that are accepted for publication.

In addition, SAMHSA requests that grantees:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.

- Include acknowledgment of the ONDCP/SAMHSA grant program as the source of funding for the project.
- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA, the U.S. Department of Health and Human Services or the Office of National Drug Control Policy, and should not be construed as such.

SAMHSA and ONDCP reserve the right to issue a press release about any publication deemed by SAMHSA or ONDCP to contain information of program or policy significance to the substance abuse treatment/substance abuse prevention/mental health services community.

## **VII. AGENCY CONTACTS**

For questions regarding program issues, contact:

Ivette Ruiz  
Center for Substance Abuse Prevention  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Rd., 4<sup>th</sup> Floor  
Rockville, MD 20857  
240-276-1511  
[ivette.ruiz@samhsa.hhs.gov](mailto:ivette.ruiz@samhsa.hhs.gov)

For questions on grants management issues, contact:

Kimberly Pendleton  
Office of Program Services, Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 7-1097  
Rockville, Maryland 20857  
(240) 276-1421  
[kimberly.pendleton@samhsa.hhs.gov](mailto:kimberly.pendleton@samhsa.hhs.gov)

## Appendix A – Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications

*SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. **For applications for new grants, if you do not adhere to these requirements, your application will be screened out and returned to you without review.** In addition to these formatting requirements, programmatic requirements (e.g., relating to eligibility) may be stated in the specific GFA and in Section III of the standard grant announcement. Please check the entire GFA and Section III of the standard grant announcement before preparing your application.*

*For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-2.3 of this announcement under "Guidance for Electronic Submission of Applications")*

- ☐ Use the PHS 5161-1 application.
- ☐ Applications must be received by the application deadline or have proof of timely submission, as detailed in Section IV-3 of the grant announcement.
- ☐ Information provided must be sufficient for review.
- ☐ Text must be legible. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-2.3 of this announcement under "Guidance for Electronic Submission of Applications.")
  - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
  - Text in the Project Narrative cannot exceed 6 lines per vertical inch.
- ☐ Paper must be white paper and 8.5 inches by 11.0 inches in size.
- ☐ To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-2.3 of this announcement under "Guidance for Electronic Submission of Applications.")
  - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the page limit for the Project Narrative stated in the specific funding announcement.
  - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by the page limit. This number represents the full page less margins, multiplied by the total number of allowed pages.

- Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

*To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines may not, in itself, result in your application being screened out and returned without review. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.*

- ☐ The following ten application components required for SAMHSA applications should be included:

- Face Page (Standard Form 424, which is in PHS 5161-1)
- Abstract
- Table of Contents
- Budget Form (Standard Form 424A, which is in PHS 5161-1)
- Project Narrative and Supporting Documentation
- Appendices
- Assurances (Standard Form 424B, which is in PHS 5161-1)
- Certifications (a form within PHS 5161-1)
- Disclosure of Lobbying Activities (Standard Form LLL, which is in PHS 5161-1)
- Checklist (a form in PHS 5161-1)

- ☐ Applications should comply with the following requirements:

- Budgetary limitations as specified in Section I, II, and IV-5 of the FY 2005 standard funding announcements; and
- Documentation of nonprofit status as required in the PHS 5161-1.

- ☐ Pages should be typed single-spaced in black ink, with one column per page. Pages should not have printing on both sides.

Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.

- ☐ The page limits for Appendices stated in the specific funding announcement should not be exceeded.
- ☐ Send the original application and two copies to the mailing address in the funding announcement. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized

attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

## Appendix B – Sample Program Abstract

Applicants are required to include a program abstract in their applications. The abstract must not exceed 35 lines and should provide the information requested in the following template:

The **[insert name of coalition being mentored]** serves **[identify and describe the target area and population served by the coalition being mentored, including whether it is serving an urban, suburban, rural or tribal area]. [Insert similar statement for any additional coalition(s) being mentored.]** To achieve the goals of the DFC Mentoring Program (which will focus on development of new community anti-drug coalitions that are focused on the prevention of substance abuse in the new coalition's community) the **[insert the name of the mentoring coalition]** will implement the following strategies: **[enumerate the programmatic strategies]:**



## Appendix C - Sample Budget and Justification

### ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION FOR COMPLETING SF 424A: SECTION B FOR 01 BUDGET PERIOD (Sample for 1<sup>st</sup> year of the funding cycle)

**A. Personnel:** an employee of the applying agency whose work is tied to the application  
**FEDERAL REQUEST**

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Executive Director	John Doe	\$64,890	5%	\$3,245
Coordinator	To be selected	\$46,276	25%	\$11,569
Development Specialist	Sarah Smith	\$35,000	25%	\$8,750
			TOTAL	\$23,564

**JUSTIFICATION: Describe the role and responsibilities of each position.**

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The coordinator will coordinate coalition services and project activities, including training, coalition communication, data collection and dissemination. The development specialist will provide training and technical assistance to the five neighborhood groups.

**NON-FEDERAL MATCH**

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Peer Helper	Ron Jones	\$23,000	15%	\$3,450
Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$4,788

**JUSTIFICATION: Describe the role and responsibilities of each position.**

The peer helper will be responsible for peer recruitment, coordination and support. The clerical support will process paperwork, payroll, and expense reports.

**FEDERAL REQUEST** (enter in Section B column 1 line 6a of form SF424A) **\$23,564**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6a of form SF424A) **\$4,788**

**B. Fringe Benefits:** List all components of fringe benefits rate

**FEDERAL REQUEST**

Component	Rate	Wage	Cost
FICA	7.65%	\$23,564	\$1,803
Workers Compensation	2.5%	\$23,564	\$589
Insurance	10.5%	\$23,564	\$2,474
		TOTAL	\$4,866

**NON-FEDERAL MATCH**

Component	Rate	Wage	Cost
FICA	7.65%	\$4,788	\$366
Workers Compensation	2.5%	\$4,788	\$120
Insurance	10.5%	\$4,788	\$503
		TOTAL	\$989

**JUSTIFICATION: Fringe reflects current rate for agency.**

**FEDERAL REQUEST** (enter in Section B column 1 line 6b of form SF424A) **\$4,866**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6b of form SF424A) **\$989**

**C. Travel:** Explain need for all travel other than that required by this application. Local travel policies prevail.

**FEDERAL REQUEST**

Purpose of Travel	Location	Item	Rate	Cost
Coalition Development/CADCA Conference	Washington, DC	Airfare	\$200/flight x 6 persons	\$1,200
		Hotel	\$180/night x 6 persons x 2 nights	\$2,160
		Per Diem (meals)	\$46/day x 6 persons x 3 days	\$828
Coalition Training CADCA Institute	Beaver Falls, PA	Air	\$250/flight x 3 flights	\$750
		Ground Transportation (rental car)	\$125/week x 3 weeks	\$375
Local travel		Mileage	3,000 miles@.38/mile	\$1,140
			<b>TOTAL</b>	<b>\$6,453</b>

**JUSTIFICATION: Describe purpose of travel and how costs were determined.**

One person from each of the 5 neighborhood groups and Development Specialist will attend the CADCA conference. Coordinator will attend the CADCA Institute's 3 week in-depth coalition training. All airfares are based on retail price as of March 8, 2005. Local travel rates, per diem, and hotel costs are based on agency's reimbursement rate.

**NON-FEDERAL MATCH**

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 5 persons	\$750
		Hotel	\$155/night x 5 persons x 2 nights	\$1,550
		Per Diem (meals)	\$46/day x 5 persons x 2 days	\$460
Local Travel	Group meetings	Mileage	3,000miles x .38/mile	\$1,140
			<b>TOTAL</b>	<b>\$3,900</b>

**JUSTIFICATION: Describe purpose of travel and how costs were determined.**

Mentoring groups agreed to sponsor one member to the regional technical assistance workshop (our closest location is Chicago, IL). Airline costs were suggested retail price as of March 8, 2005. Local travel rates, per diem, and hotel costs are based on agency's reimbursement rate.

<b>FEDERAL REQUEST</b> (enter in Section B column 1 line 6c of form SF424A)	<b>\$6,453</b>
<b>NON-FEDERAL MATCH</b> (enter in Section B column 2 line 6c of form SF424A)	<b>\$3,900</b>

**D. Equipment:** an article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit – federal definition.

<b>FEDERAL REQUEST</b> – (enter in Section B column 1 line 6d of form SF424A)	<b>\$ 0</b>
<b>NON-FEDERAL MATCH</b> – (enter in Section B column 2 line 6d of form SF424A)	<b>\$ 0</b>

**E. Supplies:** materials costing less than \$5,000 per unit and often having one-time use

**FEDERAL REQUEST**

Item(s)	Rate	Cost
Presentation supplies	\$30/presentation x 12	\$360
Postage	\$37/mo. x 12 mo.	\$444
Meeting supplies	\$10/meeting x 26 meetings	\$260
Copies	8000 copies x .10/copy	\$800
	<b>TOTAL</b>	<b>\$1,864</b>

**JUSTIFICATION: Describe need and include explanation of how costs were estimated.**

Postage and copies are needed for general operation of the project. Presentations supplies are needed for the 2 town meetings each group will sponsor. Items to include name tags, flip charts, and handouts. Meeting supplies are materials used at each mentoring meeting/training session.

**NON-FEDERAL MATCH**

Item(s)	Rate	Cost
Postage	\$37/mo. x 12 mo x 5 groups	\$2,220
	<b>TOTAL</b>	<b>\$2,220</b>

**JUSTIFICATION: Describe need and include explanation of how costs were estimated.**

The mentored groups are donating the additional costs for postage.

**FEDERAL REQUEST** – (enter in Section B column 1 line 6e of form SF424A) **\$ 1,864**

**NON-FEDERAL MATCH** - (enter in Section B column 2 line 6e of form SF424A) **\$ 2,220**

**F. Contract:** generally amount paid to non-employees for services or products. A consultant is a non-employee who provides advice and expertise in a specific program area.

**FEDERAL REQUEST (Consultant)**

Name	Service	Rate	Other	Cost
To be selected	Coalition Sustainability	\$150/day	15 days	\$2,250
	Travel	.38/mile	462 miles	\$176
		<b>TOTAL</b>		<b>\$2,426</b>

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

This person will advise mentored groups of ways to maintain, increase membership, and sustain a local coalition. Neither staff nor coalition members possess the skills needed to provide this service. The rate is based on the average consulting rate in this area. Consultant is expected to make up to 6 trips (each trip averaging 77 miles) to meet with participants. Mileage rate is based on POV reimbursement rate.

**FEDERAL REQUEST (Contract)**

Entity	Product/Service	Cost
To be selected	1.5 minute Public Service Announcement (PSA)	\$10,000
To be selected	Evaluation Report	\$4,500
	<b>TOTAL</b>	<b>\$14,500</b>

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

A local media outlet will produce five (one for each mentored group) 1.5-minute PSA from the youth drug awareness video for the local television market. Tasks will include cutting and editing the tape, preparing introductory statement, inserting music and/or narrative, and synchronizing the sound track. A local evaluation specialist will be contracted to produce the year-end results of the mentoring efforts and progress.

**NON-FEDERAL MATCH (Consultant)**

Name	Service	Rate	Other	Cost
Mentoring group	Training	\$17.50/hr.	5 days x 8 hrs/day x 5 participants x \$17.50/hr.	\$3,500
Individual time	Needs Assessment	\$17.50/hr.	2hr/wk x 52 wks. x 10 participants x \$17.50/hr.	\$18,200
Coalition Training	Needs Assessment training	\$17.50/hr.	4 hr./mo. x 12 mo. x 5 participants x \$17.50/hr.	\$4,200
Community Meeting	Coordination	\$17.50	4 hr./meeting x 12 meetings x 6 participants x \$17.50/hr.	\$5,040
			<b>TOTAL</b>	<b>\$ 30,940</b>

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

Members of the five participating groups have agreed to attend 5 full days of training and complete a needs assessment for each of the five neighborhoods. They agreed to conduct two community meetings in each of the 6 regions (local coalition members will coordinate one of the meetings). MOUs are attached to application.

**NON-FEDERAL MATCH (Contract)**

Entity	Product/Service	Cost
To be named	PSA production	\$1,500
	<b>TOTAL</b>	<b>\$1,500</b>

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

Agency has agreed to reduce price for PSA production.

**FEDERAL REQUEST-** (enter in Section B column 1 line 6f of form SF424A) **\$16,926**

(combine the total of consultant and contact)

**NON-FEDERAL MATCH –** (enter in Section B column 2 line 6f of form SF424A) **\$ 32,440**

(combine the total of consultant and contact)

**G. Construction:** NOT ALLOWED - Leave Section B columns 1&2 line 6g on SF424A blank

**H. Other:** expenses not covered in any of the previous budget categories

**FEDERAL REQUEST**

Item	Rate	Cost
Student Surveys	\$1/survey x 10,153	\$ 10,153
Brochures	.89/brochure X 10,000 brochures	\$ 8,900
	<b>TOTAL</b>	<b>\$ 19,053</b>

**JUSTIFICATION: Breakdown costs into cost/unit: i.e., cost/square foot. Explain the use of each item requested.**

Survey copyright requires the purchase of the ATOD surveys. The neighborhood groups will distribute the brochures at town meetings and various community events.

**NON-FEDERAL MATCH**

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$11,500
Television time	\$250/spot x 50 spots	\$12,500
Food and beverages	\$2.50/meeting x 40 attendees x 12 meetings	\$ 1,200
Student surveys	\$1/survey x surveys 3535	\$3,495
Printing	\$300/run x 5 runs	\$1,500
	<b>TOTAL</b>	<b>\$ 30,195</b>

**JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.**

Various coalition and community organizations donate space for the various activities outlined in the scope of work, such as teen night out, after-school programs, and parent education classes. The prices range from \$75/event for the West Bank School District to over \$300/event for the Holiday Inn. The local neighborhood groups are donating the food for meetings. The local television station is donating airtime for the PSA (MOU attached to application). The school districts are donating the cost of student surveys. All costs are the value placed on the service at the time of this grant application. A coalition member is donating the printing for the newsletters.

**FEDERAL REQUEST** – (enter in Section B column 1 line 6h of form SF424A) **\$ 19,053**

**NON-FEDERAL MATCH** – (enter in Section B column 2 line 6h of form SF424A) **\$ 30,195**

**Indirect cost rate:** If your organization has no indirect cost rate, indicate if you intend to waive the indirect costs or negotiate and establish an indirect costs rate with DHHS within 90 days of award issuance, if the grant is awarded. For information on applying for the indirect rate go to: [samhsa.gov](http://samhsa.gov) then click on grants – grants management – HHS Division of Cost Allocation – Regional Offices.

**FEDERAL REQUEST** (enter in Section B column 1 line 6j of form SF424A)

8% of personnel and fringe (.08 x \$63,661) **\$2,274**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6j of form SF424A)

8% of personnel and fringe (.08 x \$26,037) **\$468**

The indirect costs rate was approved by the Dept. of Health and Human Services in 200X. A copy of the fully executed, negotiated, indirect cost agreement is attached.

## **BUDGET SUMMARY**

<b>Category</b>	<b>Federal Request</b>	<b>Non-Federal Match</b>	<b>Total</b>
Personnel	\$23,564	\$4,788	\$28,352
Fringe	\$4,866	\$989	\$5,855
Travel	\$6,453	\$3,900	\$10,353
Equipment	0	0	0
Supplies	\$1,864	\$2,220	\$4,084
Contractual	\$16,926	\$32,440	\$49,366
Other	\$19,053	\$30,195	\$49,248
Total Direct Costs*	\$72,726	\$74,532	\$147,258
Indirect Costs	\$2,274	\$468	\$2,742
Total Project Costs	\$75,000	\$75,000	\$150,000

### **\* TOTAL DIRECT COSTS**

**FEDERAL REQUEST** – (enter in Section B column 1 line 6i of form SF424A) **\$72,726**

**NON-FEDERAL MATCH** – (enter in Section B column 2 line 6i of form SF424A) **\$74,532**

### **TOTAL PROJECT COSTS :** Sum of Total Direct Costs and Indirect Costs

**FEDERAL REQUEST** (enter in Section B column 1 line 6k of form SF424A) **\$75,000**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6k of form SF424A) **\$75,000**

## **CALCULATION OF FUTURE BUDGET PERIODS**

**(based on first 12-month budget period)**

Input, review and verify the accuracy of your 2<sup>nd</sup> year budget estimates. Increases or decreases in the future years must be explained and justified.

Total federal share is not to exceed \$75,000 in any year.

Category	2 <sup>nd</sup> project year	
	Federal	Match
Personnel		
- Executive Director	\$3,245	
- Coordinator	\$11,569	
- Development Specialist	\$8,750	
- Peer Helper		\$3,450
- Clerical Support		\$1,338
TOTAL	\$23,564	\$4,788
Fringe Benefits	\$4,866	\$989
Travel	\$6,453	\$3,900
Equipment	0	0
Supplies	\$1,864	\$4,000
Contract		
- Evaluation	\$4,500	
- Public Awareness	\$10,000	\$1,500
- Coalition members		\$37,500
TOTAL	\$14,500	\$39,000
Other	\$21,479	\$21,855
Total Direct Costs	\$72,726	\$74,532
Total Indirect Costs	\$2,274	\$468
Total Costs	\$75,000	\$75,000

Personnel: Percentage of effort to remain the same

Fringe: Based on current rates

Travel: Based on POV rate for current year and anticipated training requirements

Supplies: Based on projected needs and retail costs for current year

Contract: Based on current year costs

It is anticipated that the members participating in mentoring process will increase time and effort

Other: All other costs are based on current and anticipated expenses.

Indirect Costs: Based on current negotiated rate

The Federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column 1, line 6a-6i. The total Federal Dollars requested for the second 12-month budget period are entered on Form 424A, Section E, line 20.